

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>		ATTORNEY'S DOCKET NUMBER 176/61404 (6-1058) U.S. APPLICATION NO. (If known, see 37 CFR 1.5) <b>10/529314</b>
INTERNATIONAL APPLICATION NO. PCT/US2003/030607	INTERNATIONAL FILING DATE 25 September 2003 (25.09.2003)	PRIORITY DATE CLAIMED 25 September 2002 (25.09.2002)
TITLE OF INVENTION CASPASE INHIBITORS AS ANTICANCER AGENTS		
APPLICANT(S) FOR DO/EO/US NOBLE, Mark and DIETRICH, Joerg		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input checked="" type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). <b>Items 11 to 20 below concern document(s) or information included:</b> 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A preliminary amendment. 14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825. 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 20. <input checked="" type="checkbox"/> Other items or information: <b>See Attachment 1</b>		

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <div style="font-size: 1.5em; font-weight: bold;">10/529314</div>		INTERNATIONAL APPLICATION NO. PCT/US2003/030607		ATTORNEY'S DOCKET NUMBER 176/61404 (6-1058)	
The following fees have been submitted				CALCULATIONS	PTO USE ONLY
21. <input checked="" type="checkbox"/> Basic national fee..... \$300				\$ 300.00	
22. <input checked="" type="checkbox"/> Examination fee If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4)..... \$100 All other situations..... \$200				\$ 200.00	
23. <input checked="" type="checkbox"/> Search fee Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100 International Search Report prepared and provided to the Office..... \$400 All other situations..... \$500				\$ 100.00	
<b>TOTAL OF 21, 22 and 23 =</b>				\$ 600.00	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
56 - 100 =	-44 /50 =		x \$250	\$ 0.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)).				\$ 130.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	36 - 20 =	16	x \$ 50	\$ 800.00	
Independent claims	4 - 3 =	1	x \$200	\$ 200.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$360	\$ 0.00
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 1,730.00	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.				865.00	
<b>SUBTOTAL =</b>				\$ 865.00	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				\$ 0.00	
<b>TOTAL NATIONAL FEE =</b>				\$ 865.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$ 0.00	
<b>TOTAL FEES ENCLOSED =</b>				\$ 865.00	
				Amount to be refunded:	\$
				Amount to be charged:	\$
a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>865.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>14-1138</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
<b>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.</b>					
SEND ALL CORRESPONDENCE TO: Edwin V. Merkel Nixon Peabody LLP Clinton Square P. O. Box 31051 Rochester, NY 14603-1051 United States of America				<div style="font-size: 1.2em; font-family: cursive;">Edwin V. Merkel</div> SIGNATURE Edwin V. Merkel NAME 40,087 REGISTRATION NUMBER	

10/529314

JC17 Rec'd PCT/PTO 25 MAR 2005

Addendum

Attachment 1

UNSIGNED Combined Declaration and Power of Attorney.  
Submission of Formal Drawings w/10 sheets of drawings.

10/PRTS

10/529314  
JC17 Rec'd PCT/PTO 25 MAR 2005  
PATENT  
Docket No.: 176/61404 (6-1058)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:	Noble et al.	)
		)
U. S. Serial No:	To be assigned	)
		)
Filed:	Herewith	)
		)
PCT International Application No:	PCT/US2003/030607	)
		)
Filed:	25 September 2003	)
		)
For:	CASPASE INHIBITORS AS ANTICANCER AGENTS	)
		)
		)
		)

---

SUBMISSION OF FORMAL DRAWINGS

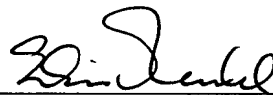
**Mail Stop: PCT**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Applicants submit herewith 10 sheets of formal drawings for the above-identified application.

Respectfully submitted,

Date: March 25, 2005

  
\_\_\_\_\_  
Edwin V. Merkel  
Registration No. 40,087

NIXON PEABODY LLP  
Clinton Square, P.O. Box 31051  
Rochester, New York 14603-1051  
Telephone: (585) 263-1128  
Facsimile: (585) 263-1600

10/529314  
JC17 Rec'd PCT/PTO 25 MAR 2005

**EXPRESS MAIL CERTIFICATE**

DOCKET NO.: 176/61404

APPLICANT(S): NOBLE et al.

TITLE: CASPASE INHIBITORS AS ANTICANCER AGENTS

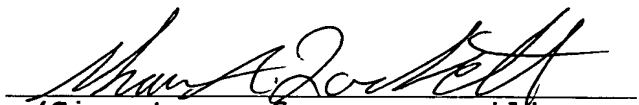
Certificate is attached to the Submission of Formal Drawings w/10sheets of Drawings of the above-named application.

"EXPRESS MAIL" NUMBER: EV415643183US

DATE OF DEPOSIT: March 25, 2005

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Mail Stop: PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Shawn A. Lockett  
(Typed or printed name of person  
mailing paper or fee)

  
(Signature of person mailing  
paper or fee)

10/529314

JC17 Rec'd PCT/PTO 25 MAR 2005

**EXPRESS MAIL CERTIFICATE**

DOCKET NO.: 176/61404

APPLICANT(S): NOBLE et al.

TITLE: CASPASE INHIBITORS AS ANTICANCER AGENTS

Certificate is attached to the Transmittal Letter to the U.S. Designated/Elected Office (DO/EO/US) of the above-named application.

"EXPRESS MAIL" NUMBER: EV415643183US

DATE OF DEPOSIT: March 25, 2005

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Mail Stop: PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Shawn A. Lockett

(Typed or printed name of person  
mailing paper or fee)



(Signature of person mailing  
paper or fee)

10/529314  
JC17 Rec'd PCT/PTO 25 MAR 2005

**EXPRESS MAIL CERTIFICATE**

DOCKET NO.: 176/61404

APPLICANT(S): NOBLE et al.

TITLE: CASPASE INHIBITORS AS ANTICANCER AGENTS


Certificate is attached to the Preliminary Amendment w/2 Amended Sheets (4 pages) of the above-named application.

"EXPRESS MAIL" NUMBER: EV415643183US

DATE OF DEPOSIT: March 25, 2005

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Mail Stop: PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Shawn A. Lockett  
**(Typed or printed name of person  
mailing paper or fee)**

  
**(Signature of person mailing  
paper or fee)**

10/529314  
JC17 Rec'd PCT/PTO 25 MAR 2005

**EXPRESS MAIL CERTIFICATE**

DOCKET NO.: 176/61404

APPLICANT(S): NOBLE et al.

TITLE: CASPASE INHIBITORS AS ANTICANCER AGENTS

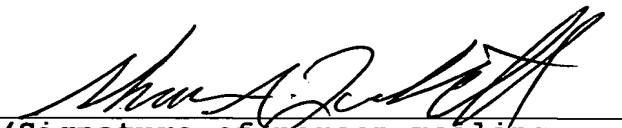
Certificate is attached to the UNSIGNED Combined Declaration and Power of Attorney of the above-named application.

"EXPRESS MAIL" NUMBER: EV415643183US

DATE OF DEPOSIT: March 25, 2005

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Mail Stop: PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Shawn A. Lockett  
**(Typed or printed name of person  
mailing paper or fee)**

  
**(Signature of person mailing  
paper or fee)**